



# भारत का राजपत्र

## The Gazette of India

साप्ताहिक/WEEKLY

प्राधिकार से प्रकाशित  
PUBLISHED BY AUTHORITY

सं. 42] नई दिल्ली, शनिवार, अक्टूबर 19—अक्टूबर 25, 2013 (आश्विन 27, 1935)

No. 42] NEW DELHI, SATURDAY, OCTOBER 19—OCTOBER 25, 2013 (ASVINA 27, 1935)

इस भाग में भिन्न पृष्ठ संख्या दी जाती है जिससे कि यह अलग संकलन के रूप में रखा जा सके  
(Separate paging is given to this Part in order that it may be filed as a separate compilation)

### भाग IV [PART IV]

[गैर-सरकारी व्यक्तियों और गैर-सरकारी संस्थाओं के विज्ञापन और सूचनाएं]  
[Advertisements and Notices issued by Private Individuals and Private Bodies]

#### NOTICE

NO LEGAL RESPONSIBILITY IS ACCEPTED FOR THE PUBLICATION OF ADVERTISEMENTS/PUBLIC NOTICES IN THIS PART OF THE GAZETTE OF INDIA. PERSONS NOTIFYING THE ADVERTISEMENTS/PUBLIC NOTICES WILL REMAIN SOLELY RESPONSIBLE FOR THE LEGAL CONSEQUENCES AND ALSO FOR ANY OTHER MISREPRESENTATION ETC.

BY ORDER  
Controller of Publication

I, hitherto known as MANVIR SINGH son of Sh. HARBHAJAN SINGH, residing at Village & Post Office Bhatha Dhua, Teh. Jagraon, Dist. Ludhiana, Punjab, India, have changed my name and shall hereafter be known as MANVIR SINGH GREWAL.

It is certified that I have complied with other legal requirements in this connection.

MANVIR SINGH  
[Signature (in existing old name)]

I, SUKHWINDER KAUR wife of Late SUDHEER KUMAR, a housewife, residing at 1250-A/1, Gali No. 13,

Govind Puri, Kalkaji, New Delhi-110019, have changed the name of minor son MANJINDER SINGH, aged 13 years and he shall hereafter be known as KARAN.

It is certified that I have complied with other legal requirements in this connection.

SUKHWINDER KAUR  
[Signature of Guardian]

I, hitherto known as RENU SONSOYA wife of Sh. MOHAN LAL, residing at A-9, Block-A, Shiv Vihar, Vikas Nagar, New Delhi-110059, have changed my name and shall hereafter be known as Smt. RAVINDER KAUR.

It is certified that I have complied with other legal requirements in this connection.

RENU SONSOYA  
[Signature (in existing old name)]

I, SATISH KUMAR son of Sh. NETRA PAL SINGH, Self-employed residing at 217-B, Shahpur Jat,

New Delhi-110049, have changed the name of my minor son AJAY DIWAKAR, aged about 14 years (Date of birth 27.09.2000) and he shall hereafter be known as AJAY KUMAR.

It is certified that I have complied with other legal requirements in this connection.

SATISH KUMAR  
[Signature of Guardian]

I, hitherto known as STALINJEET SINGH son of Sh. NIRMAL SINGH, a Student of Shaheed Bhai Diyala ji Senior Secondary Public School, Longowal, Distt. Sangrur, residing at Vill. Sheron, Teh. Sunam, Distt. Sangrur, have changed my name and shall hereafter be known as SWARNJEET SINGH.

It is certified that I have complied with other legal requirements in this connection.

STALINJEET SINGH  
[Signature (in existing old name)]

I, hitherto known as RAJESH BAJAJ son of Late AVINASH CHANDER BAJAJ, employed as Branch Head in the M/s. Antworks Capital LLP, residing at F-762, First Floor, Ganesh Nagar-II, Shakarpur, New Delhi-92, have changed my name and shall hereafter be known as ASHVIN BAJAJ.

It is certified that I have complied with other legal requirements in this connection.

RAJESH BAJAJ  
[Signature (in existing old name)]

I, hitherto known as NATWAR LAL son of Sh. DHARAM CHAND, a student, residing at D-660, Jahangir Puri, Delhi-110033, have changed my name and shall hereafter be known as RAVI.

It is certified that I have complied with other legal requirements in this connection.

NATWAR LAL  
[Signature (in existing old name)]

I, hitherto known as SANJEEV KUMAR son of Late KISHORI LAL KAHOL, employed as Assistant Accountant in Kendriya Bhandar, New Delhi, residing at L-1/222-A, DDA Flats Kalkaji, New Delhi-110019, have changed my name and shall hereafter be known as SANJEEV KAHOL

It is certified that I have complied with other legal requirements in this connection.

SANJEEV KUMAR  
[Signature (in existing old name)]

I, hitherto known as RAJU son of Late SURESH CHANDRA, employed as Private Secretary to Chief of the Air Staff, Air Headquarters, Vayu Bhawan, Ministry of Defence, New Delhi-110106, residing at C-347, Sarojini Nagar, New Delhi-110023, have changed my name and shall hereafter be known as RAJU KAZANIA.

It is certified that I have complied with other legal requirements in this connection.

RAJU  
[Signature (in existing old name)]

I, Mr. DHARMENDER RANA son of Sh. RAM AVTAR SINGH, a Businessman, Designation Proprietor, residing at 1512, Sec.-3, Ballabgarh, Distt. Faridabad (Hr.), have changed the name of minor daughter GORI RANA, her Date of Birth is 09.09.1996, aged 16 years and she shall hereafter be known as GAURI RANA.

It is certified that I have complied with other legal requirements in this connection.

DHARMENDER RANA  
[Signature of Guardian]

I, GURBHEJ SINGH son of NANAK SINGH, Ex-serviceman Indian Navy, residing at Vill. Pandori Arian P.O. Bholath, Distt. Kapurthala, Punjab-144622, have changed the name of minor son PRABHJOT SINGH, aged 17 years and he shall hereafter be known as PARABJOT SINGH.

It is certified that I have complied with other legal requirements in this connection.

GURBHEJ SINGH  
[Signature of Guardian]

I, SUKHWINDER KAUR wife of Late SUDHEER KUMAR, a Housewife, residing at 1250-A/1, Gali No. 13, Govind Puri, Kalkaji, New Delhi-110019, have changed the name of minor son MANINDER SINGH, aged 9 years and he shall hereafter be known as MAYANK.

It is certified that I have complied with other legal requirements in this connection.

SUKHWINDER KAUR  
[Signature of Guardian]

I, hitherto known as SUKHWINDER KAUR wife of Late SUDHEER KUMAR, a Housewife, residing at 1250-A/1, Gali No. 13, Govind Puri, Kalkaji, New Delhi-110019, have changed my name and shall hereafter be known as DEEPIKA.

It is certified that I have complied with other legal requirements in this connection.

SUKHWINDER KAUR  
[Signature (in existing old name)]

I, hitherto known as BHATERI daughter of Sh. KANWAR SINGH, residing at 190, V.P.O. Nangloi, Delhi-110041, have changed my name BHATERI, aged 24 years and shall hereafter be known as INDU.

It is certified that I have complied with other legal requirements in this connection.

BHATERI  
[Signature (in existing old name)]

I, hitherto known as RITU wife of Sh. RAJESH JUNEJA, residing at C-4/48-C, Keshav Puram, Nath West Delhi, Delhi-110035, have changed my name and shall hereafter be known as NEELAM JUNEJA.

It is certified that I have complied with other legal requirements in this connection.

RITU  
[Signature (in existing old name)]

I, hitherto known as ANUPAM KUMAR son of Sh. RAM GOPAL, residing at 217-A, UNA Apartments, I.P. Extension, Patparganj, New Delhi-110092, have changed my name and shall hereafter be known as ANUPAM GUPTA.

It is certified that I have complied with other legal requirements in this connection.

ANUPAM KUMAR  
[Signature (in existing old name)]

I, hitherto known as RAJESH KUMAR/RAJESH CHAUHAN son of Sh. BRAHM PAL SINGH, residing at 49, Vill. & PO. Bakoli, Delhi-110036, have changed my name and shall hereafter be known as RAJESH CHAUHAN.

It is certified that I have complied with other legal requirements in this connection.

RAJESH KUMAR/RAJESH CHAUHAN  
[Signature (in existing old name)]

I, RAVINDRA KUMAR GAUR son of Sh. RAMESH CHANDRA GAUR, employed as Chartered Accountants in the Gaur & Associates, residing at A-249 MIG Flats, (SFS), Brij Vihar, Ghaziabad-201011, have changed the name of my minor son KISLAY GAUR, aged 16 years and he shall hereafter be known as DIVYANSH GAUR.

It is certified that I have complied with other legal requirements in this connection.

RAVINDRA KUMAR GAUR  
[Signature of Guardian]

I, hitherto known as AKANKASHA GOYAL wife of Sh. NIDHISH TIWARI, employed as Doctor, residing at 27/303, East End Apartments, Mayur Vihar Extension, Phase-I, Delhi-110096, have changed my name and shall hereafter be known as AKANKASHA TIWARI.

It is certified that I have complied with other legal requirements in this connection.

AKANKASHA GOYAL  
[Signature (in existing old name)]

I, hitherto known as SURRENDER/SURENDRA son of Sh. PUTTAN LAL GUPTA, a student, residing at 276AB 3rd Floor Ward No. 2, Mehrauli, New Delhi-110030, have changed my name and shall hereafter be known as SIDDHARTH GUPTA.

It is certified that I have complied with other legal requirements in this connection.

SURRENDER/SURENDRA  
[Signature (in existing old name)]

I, VIJAY KUMAR SHARMA son of Sh. KRISHAN KUMAR SHARMA, employed as Officer Accounts in the KSB Pumps Limited, A-96, Sector-IV, Noida-201301, UP, residing at C-31, Surajmal Vihar, Delhi-110092, have changed the name of my minor son NALIN MADAHAR, aged 16 years and he shall hereafter be known as NALIN SHARMA.

It is certified that I have complied with other legal requirements in this connection.

VIJAY KUMAR SHARMA  
[Signature of Guardian]

I, hitherto known as KAMLESH wife of Sh. SUNIL DUTT, residing at 1620, Near Telephone Exchange, Najafgarh, New Delhi-110043, have changed my name and shall hereafter be known as ANITA.

It is certified that I have complied with other legal requirements in this connection.

KAMLESH  
[Signature (in existing old name)]

I, hitherto known as PRAVEEN KUMAR son of Sh. YASHPAL, selfemployed (Owner of Expert Staffing

Solutions), residing at C-330, Triveni Apartments, Sheikh Sarai, Phase-I, New Delhi-110017, have changed my name and shall hereafter be known as RAJVEER SINGH BANGARH.

It is certified that I have complied with other legal requirements in this connection.

PRAVEEN KUMAR  
[Signature (in existing old name)]

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I, hitherto known as MANEESH SRIVASTAVA son of Sh. DAYAL DASS SRIVASTAVA, employed as Life Coach, residing at A-14/14, Ground Floor, Vasant Vihar, New Delhi-110057, have changed my name and shall hereafter be known as MANISH SRIVASTAV.

It is certified that I have complied with other legal requirements in this connection.

MANEESH SRIVASTAVA  
[Signature (in existing old name)]

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I, hitherto known as VED PAL son of Sh. HARKISHAN, employed as a Labour, residing at 787, VPO-Pooth Khurd, Delhi-110039, have changed my name and shall hereafter be known as VED SINGH.

It is certified that I have complied with other legal requirements in this connection.

VED PAL  
[Signature (in existing old name)]

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I, hitherto known as AMARJIT KAUR wife of Sh. HARVINDER SINGH, a Housewife, residing at 269, Prakash Mohalla, East of Kailash, New Delhi-110065, have changed my name and shall hereafter be known as AMARJEET KAUR.

It is certified that I have complied with other legal requirements in this connection.

AMARJIT KAUR  
[Signature (in existing old name)]

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I, hitherto known as BARKHA AGGARWAL wife of Sh. ANUJ AGGARWAL, residing at 614, Sector-29, Faridabad, Haryana, have changed my name and shall hereafter be known as MADHU AGGARWAL.

It is certified that I have complied with other legal requirements in this connection.

BARKHA AGGARWAL  
[Signature (in existing old name)]

I, hitherto known as NAVJOT SINGH son of Sh. NIRMAL SINGH, employed as Captain in Spicejet Ltd., residing at 67, Amandeep Avenue, Maqsudan, Jalandhar, Punjab, have changed my name and shall hereafter be known as NAVJOT SINGH KAHLON.

It is certified that I have complied with other legal requirements in this connection.

NAVJOT SINGH  
[Signature (in existing old name)]

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I, hitherto known as MUKESH KAPOOR son of Sh. NARESH KAPOOR, residing at B-4/88A, Keshav Puram, Delhi-110035, have changed my name and shall hereafter be known as ARHAN SHAH.

It is certified that I have complied with other legal requirements in this connection.

MUKESH KAPOOR  
[Signature (in existing old name)]

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I, hitherto known as RAJKUMAR CHANDGIRAM VALMIKI son of Sh. CHANDGIRAM LOT, employed as Fieldman in Botanical Survey of India, residing at Type-II, Flat No. 50, 'H' Building, GPRA, Central Govt. Colony, Pradhikaran, Pune-411044 (Maharashtra), have changed my name and shall hereafter be known as RAJKUMAR CHANDGIRAM LOT.

It is certified that I have complied with other legal requirements in this connection.

RAJKUMAR CHANDGIRAM VALMIKI  
[Signature (in existing old name)]

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I, hitherto known as KONIDENA RAVI SANKAR son of Sh. KONIDENA NAGA SAMBA SIVA RAO, residing at 11/209, Street behind Kottak Mahendra Bank, Buja Buja Nellore, SPSR Nellore Distt., Andhra Pradesh, have changed my name and shall hereafter be known as KONIDENA RAWI SHANKOR.

It is certified that I have complied with other legal requirements in this connection.

KONIDENA RAVI SANKAR  
[Signature (in existing old name)]

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I, SAILEN KUMAR GIRI son of Sh. NABA KUMAR GIRI, employed as UDC in the Canteen Stores Department, Jabalpur (MP), residing at Govt. Qtr. No. 303/4, Ridge Road, Jabalpur (MP), have changed the name of minor daughter BISHALAXMI GIRI, aged 14 years and she shall hereafter be known as PURVI GIRI.

It is certified that I have complied with other legal requirements in this connection.

SAILEN KUMAR GIRI  
[Signature of Guardian]

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I, hitherto known as ANANTA BANDHU NAYAK son of Late UDIYA NAYAK, employed as Lab Assistant in the Institute of Minerals & Materials Technology, Govt. of India, residing at Qr. No. 264, IMMT Colony, Bhubaneswar, have changed my name and shall hereafter be known as ANANTA CHARAN DAS.

It is certified that I have complied with other legal requirements in this connection.

ANANTA BANDHU NAYAK  
[Signature (in existing old name)]

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I, hitherto known as UMA SHARMA daughter of Sh. N.D. SHARMA, residing at C-9/75, Yamuna Vihar, Delhi-110053, have changed my name and shall hereafter be known as SNEH.

It is certified that I have complied with other legal requirements in this connection.

UMA SHARMA  
[Signature (in existing old name)]

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I, hitherto known as BIJENDRA JAIN AND BIJENDER JAIN son of Sh. JIYA LAL JAIN, a Businessman in Bricks Trading, residing at 425/14, Gali No. 6, Bhola Nath Nagar, Shahadara, Delhi-110032, have changed my name and shall hereafter be known as BIJENDER KUMAR JAIN

It is certified that I have complied with other legal requirements in this connection.

BIJENDRA JAIN AND BIJENDER JAIN  
[Signature (in existing old name)]

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I, DINESH KHURANA son of Sh. BALDEV RAJ KHURANA, employed as Regional Head in Aditya Birla Nuvo Ltd., residing at B-4/86, Ground Floor, Safdrajung Enclave, New Delhi-110029, have changed the name of my minor son ANKIT KHURANA, aged 15 years and he shall hereafter be known as ADITYA KHURANA.

It is certified that I have complied with other legal requirements in this connection.

DINESH KHURANA  
[Signature of Guardian]

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I, hitherto known as DURGA LAL son of Sh. MANGAL RAM, employed as Construction in the Karol Bagh Zone,

residing at B-96 Pandav Nagar, Near Shadipur Depot, New Delhi-110008, have changed my name and shall hereafter be known as DURGA PRASAD

It is certified that I have complied with other legal requirements in this connection.

DURGA LAL  
[Signature (in existing old name)]

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I, hitherto known as SANJAY PURI son of Late S.M. PURI, a businessman, M/s Radha Raman Steel Industries, residing at A-1A, flat No. 34A, Janak Puri, New Delhi-110058, have changed my name and shall hereafter be known as SANJEY PURI

It is certified that I have complied with other legal requirements in this connection.

SANJAY PURI  
[Signature (in existing old name)]

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I, hitherto known as DALJIT SINGH son of Sh. SUKHDEV SINGH, residing at Vill. & PO. Bhatha Dhua, Teh. Jagraon Distt. Ludhiana, Punjab, have changed my name and shall hereafter be known as DALJIT SINGH GREWAL.

It is certified that I have complied with other legal requirements in this connection.

DALJIT SINGH  
[Signature (in existing old name)]

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I, hitherto known as RAHUL son of Sh. MAKHAN MOHAN PRASAD, employed as Company Secretary, residing at 115, United India Apartment, Mayur Vihar, Phase-I, Extension, Delhi-110091, have changed my name and shall hereafter be known as RAHUL PRASAD.

It is certified that I have complied with other legal requirements in this connection.

RAHUL  
[Signature (in existing old name)]

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I, hitherto known as BHIM RAJ son of Late HARDAYAL SINGH, residing at 16/692-H, Bapa Nagar, Military Road, Karol Bagh, New Delhi-110005, have changed my name and shall hereafter be known as BHIMRAJ SAGAR.

It is certified that I have complied with other legal requirements in this connection.

BHIM RAJ  
[Signature (in existing old name)]

I, hitherto known as LEELA DHAR UPADHYAY son of Sh. NAND RAM UPADHYAY, residing at L, Tagore Park, Delhi-110009, have changed the name of my minor son from PUNEET SHARMA age about 14 years and he shall hereafter be known as THANESHWAR UPADHYAY.

It is certified that I have complied with other legal requirements in this connection.

LEELA DHAR UPADHYAY  
[Signature of Guardian]

I, hitherto known as GOPAL SHARMA son of Sh. NAND RAM UPADHYAY, residing at L, Tagore Park, Delhi-110009, have changed my name and shall hereafter be known as LEELA DHAR UPADHYAY.

It is certified that I have complied with other legal requirements in this connection.

GOPAL SHARMA  
[Signature (in existing old name)]

I, hitherto known as KUMARI MANJU daughter of Sh. RAM SINGH DALAL, a student, residing at H.No. 1551, Sector-2, Bahadurgarh, Distt. Jhajjar, Haryana-124507, have changed my name and shall hereafter be known as MANJU SINGH wife of Sh. SHYAM SUNDER SINGH.

It is certified that I have complied with other legal requirements in this connection.

KUMARI MANJU  
[Signature (in existing old name)]

I, hitherto known as SANWARE LAL YADAV son of Sh. NAGEENA YADAV, employed as RF Engineer, residing at House No.-133, Maladharpur, PO-Chilh, Mirzapur-231312 (U.P.), have changed my name and shall hereafter be known as SANWARE YADAV.

It is certified that I have complied with other legal requirements in this connection.

SANWARE LAL YADAV  
[Signature (in existing old name)]

I, hitherto known as SHAKTI PARTAP SINGH son of Sh. S. P. SINGH, residing at 10569, Ist Floor, Street No. 4, Pratap Nagar, Delhi-110007, have changed my name and shall hereafter be known as MOHD. FARHAN ABDULLAH.

It is certified that I have complied with other legal requirements in this connection.

SHAKTI PARTAP SINGH  
[Signature (in existing old name)]

#### CHANGE OF RELIGION

I, SHAKTI PARTAP SINGH son of Sh. S. P. SINGH, residing at 10569, Ist, Floor, Street No. 4, Pratap Nagar, Delhi-110007, do hereby solemnly affirm and declare that I have embraced MUSLIM RELIGION and renounced HINDU RELIGION since 13.08.2013.

It is certified that I have complied with other legal requirement in this connection.

SHAKTI PARTAP SINGH  
[Signature]

#### PUBLIC NOTICE

It is for general information that I, BRIJESH KUMAR son of Sh. SANNU LAL, residing at 352, St. Vivekanand School, T. Huts, Anand Vihar, Delhi-110092, declare that name of my father has been wrongly written as Sh. B. S. LAL in my License and in the other documents. The actual name of my father is Sh. SANNU LAL respectively, which may be amended accordingly.

It is certified that I have complied with other legal requirements in this connection.

BRIJESH KUMAR  
[Signature]

It is for general information that I, SURENDER son of Sh. MOHAN LAL, residing at 31/27, A-1 Block, Cross Road, Batra Gali, Burari, Delhi-110084, do hereby declare that name of mine has been wrongly written as SURENDER LAL/SURENDER LAL RATHOR in my father's Ration Card No. APL-55460916 and my Aadhar Card Enrolment No. 1171/03706/01327 and other documents. The actual name of mine is SURENDER respectively, which may be amended accordingly.

It is certified that I have complied with other legal requirements in this connection.

SURENDER  
[Signature]

It is for general information that I, RENU wife of Sh. VINOD KUMAR, residing at H. No. 9585, Gaushala Baradari, Kishan Ganj, Delhi-110006, do hereby declare that name of mine has been wrongly written as PREM LATA in my minor son namly VISHAL's 10th certificates. The actual name of mine is RENU respectively, which may be amended accordingly.

It is certified that I have complied with other legal requirements in this connection.

RENU  
[Signature]

It is for general information that I, SAHEB RISHAB son of Late HARVINDER TREHAN, residing at 25-B Block, Guru Amar Dass Avenue, Airport Road, Amritsar-143008, declare that name of mine and my father has been wrongly written as SAHEB RISHABH ANAND and PINKESH KUMAR ANAND respectively in my educational documents and other documents. The actual name of mine and my father is SAHEB RISHAB and Late HARVINDER TREHAN respectively, which may be amended accordingly.

It is certified that I have complied with other legal requirements in this connection.

SAHEB RISHAB  
[Signature]

It is for general information that I, LALAN YADAV son of Sh. MAHADEV YADAV, residing at E-2/136, Shivram Park, Nangloi, New Delhi-110041, declare that name of my father has been wrongly written as MAHAVEER SINGH in my educational documents/service book/License and in other Legal documents. The actual name of my father is MAHADEV YADAV.

It is certified that I have complied with other legal requirements in this connection.

LALAN YADAV  
[Signature]

It is for general information that I, BHAGWAN DASS son of Sh. ISHWAR DASS, residing at House No. 100, Block-C, Shardhanand Park, Bhalswa Dairy, Delhi-42, declare that name of my son has been wrongly written as SURENDER SHARMA in his educational documents and in other documents. The actual name of my son is SAHASRANSHU SHARMA respectively, which may be amended accordingly.

It is certified that I have complied with other legal requirements in this connection.

BHAGWAN DASS  
[Signature]

It is for general information that I, DEVI RAM son of Sh. RAM KISHAN, residing at H. No. 370, Near Primary School Begum Pur Village, Delhi-110081, declare that name of mine has been wrongly written as DEVENDER SINGH in educational documents and in other documents of my daughter PREETI YADAV. The actual name of mine DEVI RAM.

It is certified that I have complied with other legal requirements in this connection.

DEVI RAM  
[Signature]

It is for general information that I, SHRADHIR SAGAR SHIRZEM son of Sh. DHIRENDRA KUMAR SHARMA, residing at Bandhav Garh Colony, MIG-77, Satna, Madhya Pradesh-485001, declare that name of my mother has been wrongly written as SARLA SHARMA in my educational certificates and in other documents. The actual name of my mother is Late SHRADDHA SHARMA, which may be amended accordingly.

It is certified that I have complied with other legal requirements in this connection.

SHRADHIR SAGAR SHIRZEM  
[Signature]

It is for general information that I, SURENDER son of Sh. MOHAN RAL, residing at A-1/3127, Block-A-1, Bengali Colony, Gali No. 31, Sant Nagar, Burari, Delhi-110084, do hereby declare that name of mine has been wrongly written as SURENDER LAL in my father's Ration Card No. APL-55460916. The actual name of mine is SURENDER, which may be amended accordingly.

It is certified that I have complied with other legal requirements in this connection.

SURENDER  
[Signature]

It is for general information that I, DURBIN SINGH son of Late SIYA RAM SINGH YADAV, residing at Q-No. 23, Type-II, Delhi College of Engineering, Shahabad Daulatpur, Bawana Road, Delhi-42, declare that name of my wife has been wrongly written as PUSHPA DEVI in 10th certificate of my daughter. The actual name of my wife is Smt. GUDDI DEVI which may be amended accordingly.

It is certified that I have complied with other legal requirements in this connection.

DURBIN SINGH  
[Signature]

It is for general information that I, SORABH VERMA son of Sh. DINESH VERMA, residing at J-109, Gali No.-6, Laxmi Nagar, Delhi-110092, declare that name of my mother has been wrongly written as KIRAN VERMA in my educational documents and in the other documents. The actual name of my mother is NIRMLA VERMA respectively, which may be amended accordingly.

It is certified that I have complied with other legal requirements in this connection.

SORABH VERMA  
[Signature]

It is for general information that I, NIANG NEI KIM SIMTE wife of Dr. T. HOMESWAR, residing at Room 1 to 6, Nurses Hostel, Lady Hardinge Hospital, Bhagat Singh Marg, New Delhi-110001, declare that name of mine has been wrongly written as AGNES SIMTE in my daughter Miss. SHEBNA SIMTE's educational documents and in other documents. The actual name of mine is NIANG NEI KIM SIMTE respectively, which may be amended accordingly.

It is certified that I have complied with other legal requirements in this connection.

NIANG NEI KIM SIMTE  
[Signature]

### CORRIGENDUM

In the 8th Line of the advertisement the actual name may be read as MUKHTIAR SINGH instead of MIKHTIAR SINGH as published in Gazette of India Part-IV issue No. 35, dated August 31—September 06, 2013 at Page No. 883 column II.

In the 2nd Line of the advertisement the actual name may be read as KIMTI LAL instead of KIMITI LAL as published in Gazette of India Part-IV issue No. 37, dated September 14—September 20, 2013 at Page No. 908 column I.

नैशनल कोमोडिटी एण्ड डेरिवेटिव्स एक्सचेंज लि., मुंबई

मुंबई, दिनांक 13 अगस्त 2013

सार्वजनिक सूचना

वायदा बाजार आयोग (विनियम) अधिनियम, 1952 (1952 का 74) की धारा 11 के द्वारा प्रदत्त शक्तियों का प्रयोग करते हुए वायदा बाजार आयोग के पूर्व अनुमोदन से नैशनल कोमोडिटी एण्ड डेरिवेटिव्स एक्सचेंज लि., मुंबई, एतद्वारा भारत सरकार के दिनांक 25 सितम्बर 2004 के राजपत्र के खण्ड-IV के पृष्ठ संख्या 309 से 547 में प्रकाशित नैशनल कोमोडिटी एण्ड डेरिवेटिव्स एक्सचेंज लि., मुंबई के उप-नियमों को संशोधित करता है।

1. संक्षिप्त शीर्षक ओर आरंभ : इन उप-नियमों को नैशनल कोमोडिटीज एण्ड डेरिवेटिव्स एक्सचेंज के (तीसरा संशोधन) उप-नियम, 2012 संबोधित किया जाएगा।
2. यह उप-नियम वायदा बाजार आयोग द्वारा दिये गए अनुमोदन की तिथि से प्रभावी माने जाएंगे।
3. उक्त अधिसूचना के पृष्ठ 497 पर, भाग अ के उपनियम 6 के बाद, निम्न नाम से एक नये उप-नियम को जोड़ा जाएगा।

6अ. अधिकृत व्यक्ति

6अ.1 अधिकृत व्यक्ति

6अ.1.1 एक्सचेंज का/की/के सदस्य “अधिकृत व्यक्ति” के जरिए उनके ग्राहकों को मार्केट एक्सेस दे सकता/ती/ते हैं।

6अ.1.2 “अधिकृत व्यक्ति” का अर्थ और उसमें किसी व्यक्ति (मालिकों सहित), भारतीय भागीदारी अधिनियम, 1932 द्वारा परिभाषित सीमित दायित्व भागीदारी (एलएलपी), कंपनी अधिनियम, 1956 के तहत परिभाषित कॉर्पोरेट निकाय, अथवा सहकारी संस्था अधिनियम, 1912/बहुराज्य सहकारी संस्था अधिनियम, 2002/कोई अन्य संबंधित राज्य/केन्द्रशासित प्रदेश संस्था अधिनियम के तहत परिभाषित सहकारी संस्था (ऐसी सहकारी संस्थाओं की फेडरेशन के सहित)का समावेश होगा, जिसे एक्सचेंज के अनुमोदन से, एक्सचेंज के सदस्य द्वारा एक्सचेंज के ट्रेडिंग प्लेटफॉर्म का एक्सेस देने हेतु एक्सचेंज के सदस्य के प्रतिनिधि के रूप में नियुक्त किया गया हो।

6अ.2 अधिकृत व्यक्ति की नियुक्ति

6अ.2.1 एक्सचेंज का/की/के सदस्य एक्सचेंज का खास तौर पर पूर्वानुमोदन प्राप्त करने पर एक या अधिक अधिकृत व्यक्ति को नियुक्त कर सकता/ती/ते हैं।

6अ.2.2 ऐसे प्रत्येक अधिकृत व्यक्ति के लिए अनुमोदन तथा नियुक्ति खास तौर पर होगी।

6अ.3 नियुक्ति की प्रक्रिया

6अ.3.1 “अधिकृत व्यक्ति” की नियुक्ति हेतु एक्सचेंज का/की सदस्य एक्सचेंज को एक्सचेंज द्वारा अधिसूचित किए गए प्रारूप में आवेदन कर सकता है।

6अ.3.2 अधिकृत व्यक्ति की नियुक्ति हेतु अपने सदस्य से आवेदन प्राप्त होने पर एक्सचेंज:—

(अ) वह व्यक्ति अधिकृत व्यक्ति के रूप में नियुक्त होने के लिए पात्र होने का विश्वास होने पर अनुमोदन देगा; अथवा

(ब) वह व्यक्ति अधिकृत व्यक्ति के रूप में नियुक्त होने के लिए पात्र न होने का विश्वास होने पर अनुमोदन देने से इन्कार करेगा;

6अ.3.3 किसी अधिकृत व्यक्ति को मंजूर की गई/मंजूर की जानेवाली अनुमति को किसी भी समय कोई भी कारण बताए बिना अस्वीकृत करने अथवा वापस लेने का अधिकार, यदि एक्सचेंज अपने पूरे विवेकाधिकार में ऐसी अस्वीकृति या वापसी पर बाजार के हित में विचार करता है, तो एक्सचेंज को होगा।

6अ.4 पात्रता के मानदंड

6अ.4.1 व्यक्ति

कोई भी व्यक्ति “अधिकृत व्यक्ति” के रूप में नियुक्ति हेतु तब पात्र होगा, यदि:—

अ. वह भारत का/की नागरिक है;

ब. वह 18 वर्ष से कम आयु का/की नहीं है;



- क. वह किसी धोखाधड़ी या बेईमानी के अपराध के लिए दोषी ठहराया नहीं गया/गयी हो;
- ड. वह किसी स्टॉक एक्सचेंज या कोमोडिटी एक्सचेंज से लगातार छह कैलेंडर महिनों की अवधि के लिए निलंबित किया गया/की गई हो, अधिकृत व्यक्ति के रूप में उसकी नियुक्ति हेतु उसका विचार करने के पहले निलंबन की अवधि समाप्त होने की तारीख से कम से कम तीन वर्ष की अवधि गुजर गई हो;
- ई. उसका/की प्रतिष्ठा तथा चरित्र अच्छा हो;
- फ. वह कम से कम दसवीं या उसके समकक्ष परीक्षा केन्द्र/राज्य सरकार द्वारा मान्यता प्राप्त संस्था से पास हो;
- ग. वह एक्सचेंज द्वारा निर्धारित ऐसा कोई प्रमाणपत्र रखता/ती हो, जो समय समय पर वायदा बाजार आयोग द्वारा अनुमोदित किया गया हो।

#### 6अ.4.2 भागीदारी फर्म, एलएलपी अथवा कार्पोरेट संकाय

भागीदारी फर्म एलएलपी अथवा कार्पोरेट संकाय “अधिकृत व्यक्ति” के रूप में नियुक्ति हेतु पात्र होंगे:

- अ. यदि सभी भागीदारी या निदेशक, जैसा भी मामला हो, उपरोक्त उप-नियम 6अ.4.1 में सम्मिलित आवश्यकताओं को पूरा करते हों;
- ब. मेमोरेण्डम ऑफ एसोसिएशन या भागीदारी के करार के उद्देश्य के खण्ड में ऐसी व्यक्ति को कोमोडिटीज डेरिवेटिव्स संविदाओं में व्यवहार करने की अनुमति सम्मिलित हो;

#### 6अ.4.3 सहकारी संस्था अधिकृत व्यक्ति के रूप में नियुक्ति के लिए पात्र होगी:

- अ. यदि प्रबंधन समिति शासी निकाय के सभी सदस्य निदेशक जिस किसी नाम से जाने जाते हों, उपरोक्त खण्ड 6अ.4.1 में समाविष्ट आवश्यकताओं को पूरा करते हों, फिर भी, उपरोक्त खण्ड 6अ.4.1.फ के संबंध में, एक्सचेंज अपने विवेकाधिकार के तहत शैक्षिक अर्हताओं में छूट दे सकता है।

- ब. यदि सहकारी संस्था की मेमोरेण्डम ऑफ एसोसिएशन के उद्देश्य खण्ड में सहकारी संस्था को कोमोडिटीज डेरिवेटिव्स संविदाओं में व्यवहार करने की अनुमति का प्रावधान हो।

उपरोक्त विवरण के अनुसार पात्रता मानदंडों को वायदा बाजार आयोग द्वारा जारी निदेशों अथवा दिशानिर्देशों के अनुसार जोड़ा अथवा संशोधन किया जा सकता है।

#### 6अ.4.4 आधारभूत संरचना

अधिकृत व्यक्ति के पास आवश्यक आधारभूत संरचनाएं उदा. पर्याप्त कार्यालयीन जगह, उपकरण, मनुष्यबल और ऐसी ही

अन्य आधारभूत संरचनात्मक सुविधाएं होनी चाहिए, जोकि सदस्य की ओर से किए जाने वाले कार्यकलापों को प्रभावी रूप से करने हेतु एक्सचेंज द्वारा समय समय पर निर्धारित की गई हों।

#### 6अ.5. नियुक्ति की शर्तें

- 6अ.5.1 एक्सचेंज के सदस्य की “अधिकृत व्यक्ति” के रूप में नियुक्ति होने पर ऐसी व्यक्ति या संस्था, ऐसे सदस्य की अधिकृत व्यक्ति रहने तक, एक्सचेंज के किसी अन्य सदस्य की अधिकृत व्यक्ति होने के लिए पात्र नहीं होगी।

- 6अ.5.2 सदस्य का/की कोई भी निदेशक (यदि सदस्य कंपनी अधिनियम के तहत कंपनी हो तो) अथवा सदस्य का/की भागीदार (यदि सदस्य भागीदारी फर्म अथवा एलएलपी हो तो) अथवा सदस्य की प्रबंधन समिति/शासी निकाय का सदस्य/निदेशक (यदि सदस्य सहकारी संस्था हो तो) एक्सचेंज के किसी अन्य सदस्य की “अधिकृत व्यक्ति” होने के लिए पात्र नहीं होगा। जिसमें उसकी कंपनी, भागीदारी फर्म, एलएलपी अथवा सहकारी संस्था सदस्य हो।

- 6अ.5.3 अधिकृत व्यक्ति अपने नाम या खाते में किसी प्रकार के धनराशि की प्राप्ति या भुगतान अथवा कोमोडिटीज की सुपुर्दगी का व्यवहार नहीं करेगा। धनराशि की सभी प्राप्तियां और भुगतान तथा कोमोडिटीज व्यवहार संबंधित सदस्य के नाम से ही होंगे।

- 6अ.5.4 अधिकृत व्यक्ति उसकी सेवाओं के लिए उसका पारिश्रमिक-फी, प्रभार कमिशन, वेतन, आदि केवल उसी सदस्य से प्राप्त करेगा जिसका/की वह “अधिकृत व्यक्ति” है और वह सदस्य के ग्राहकों से किसी भी अन्य राशि को चाहे किसी भी नाम या खाते से हों, वसूल नहीं करेगा।

- 6अ.5.5 अधिकृत व्यक्ति से हाने वाले चूक और अपराध के सभी कृत्य सदस्य के माने जाएंगे।

- 6अ.5.6 सदस्य तथा “अधिकृत व्यक्ति” एक्सचेंज द्वारा निर्धारित प्रपत्र में लिखित करार करेंगे अन्य बातों के साथ साथ करार/करारों में, गतिविधियों का दायरा, जिम्मेदारियां, जानकारी की गोपनीयता, इस खण्ड में अथवा वायदा बाजार आयोग द्वारा समय समय पर निर्धारित “अधिकृत व्यक्ति” के रूप में नियुक्ति की शर्तें, पारिश्रमिक के विवरण (चाहे वेतन, कमिशन, भत्ता या अन्य के रूप में हो), निष्कासन की शर्तें, आदि का समावेश होगा।

- 6अ.5.7 किसी अधिकृत व्यक्ति के लिए एक्सचेंज द्वारा दी गई अनुमति यह सदस्यों को केवल एक्सचेंज के प्लेटफॉर्म पर उनके द्वारा अधिकृत व्यक्तियों के जरिए व्यापार करने के लिए ही होगी और ऐसी अनुमति सदस्य का दायित्व और जिम्मेदारी में किसी भी तरीके से छूट, कमी या असर करने हेतु नहीं होगी।

#### 6अ.6 अनुमोदन को वापस लेना

अधिकृत व्यक्ति को दिया हुआ अनुमोदन एक्सचेंज वापस ले सकता है:

- 6अ.6.1 संबंधित सदस्य अथवा अधिकृत व्यक्ति से उस संबंध में अनुरोध पत्र प्राप्त होने पर, जो कि एक्सचेंज द्वारा निर्धारित आवश्यकताओं का पालन करने के अधीन होगा।
- 6अ.6.2 इस बात का विश्वास होने पर कि अधिकृत व्यक्ति का बने रहना निवेशक/कों अथवा कोमोडिटीज बाजार के हित के लिए हानिकारक है।
- 6अ.6.3 इस खण्ड के उपविधि 6अ.4.1 के तहत पश्चात् काल में ऐसे अधिकृत व्यक्ति के अपात्र होने पर।
- 6अ.6.4 वायदा बाजार आयोग के निदेशों पर।
- 6अ.7 सदस्य के दायित्व
- 6अ.7.1 एक्सचेंज द्वारा ऐसे अधिकृत व्यक्ति की स्वीकृति का संदेश मिलने के बाद सदस्य ऐसे प्रत्येक अधिकृत व्यक्ति के साथ एक्सचेंज द्वारा निर्धारित करार करेगा/करेगी।
- 6अ.7.2 सदस्य उपनियम 6अ.7.1 के अनुसार करार करने के बाद ही अधिकृत व्यक्ति को उनकी ओर से ग्राहकों को दाखिल करने व परिचय कराने और ग्राहकों से आदेश लेने की अनुमति देगा/देगी।
- 6अ.7.3 “अधिकृत व्यक्ति” और अथवा उनके कर्मचारियों के चूक और अपराध के कृत्यों से होने वाली देयताओं सहित ऐसे सभी कृत्यों के लिए सदस्य जिम्मेदार होगा/होगी।
- 6अ.7.4 यदि कोई ट्रेडिंग र्मिनल सदस्य द्वारा “अधिकृत व्यक्ति” को दिया गया हो, तो जिस स्थान पर ऐसा ट्रेडिंग र्मिनल स्थित है वह उस सदस्य का शाखा कार्यालय माना जाएगा।
- 6अ.7.5 ऐसे प्रत्येक शाखा कार्यालय पर सदस्य, एक्सचेंज द्वारा निर्धारित की जाने वाली अतिरिक्त जानकारी प्रदर्शित करेगा जैसे उस शाखा के प्रभारी अधिकृत व्यक्ति के विवरण, उसकी नियुक्ति की शर्तें व निबंधन, अधिकृत व्यक्ति से व्यवहार करने हेतु समय सीमाएं, आदि।
- 6अ.7.6 अधिकृत व्यक्ति में यदि कोई परिवर्तन हो, तो सदस्य उनके बारे में उस शाखा के सभी पंजीकृत ग्राहकों को ऐसे परिवर्तन के कम से कम 15 दिनों के पहले सूचित करेगा/करेगी।
- 6अ.7.7 सदस्य अधिकृत व्यक्ति को सौंपी गई शाखाओं का और उनके द्वारा किये गये परिचालन का एक्सचेंज द्वारा निर्धारित किये अनुसार आवधिक निरीक्षण करेगा/करेगी।
- 6अ.7.8 एक्सचेंज के नियम, उप-नियम और विनियमों का अधिकृत व्यक्तियों द्वारा अनुपालन सुनिश्चित करने हेतु अधिकृत व्यक्तियों के रिकार्ड की लेखापरीक्षा करने की जिम्मेदारी सदस्य की होगी।
- 6अ.7.9 अधिकृत व्यक्ति के जरिए व्यवहार करने वाले ग्राहक का पंजीकरण सदस्य के साथ ही किया जाएगा। ग्राहक के निधि, धनराशि, कोमोडिटीज अथवा मालगोदाम रसीद या कोमोडिटीज के इलेक्ट्रॉनिक जमा को, जैसा भी मामला हो, सीधे सदस्य और ग्राहक के बीच निपटया जाएगा। ग्राहक का कोई भी निधि या कोमोडिटीज अधिकृत व्यक्ति के किसी भी खाते में अंतरित/जमा नहीं किया जाएगा।
- 6अ.7.10 संविदा नोट्स, निधियों और कोमोडिटीज के विवरण आदि जैसे सभी दस्तावेज ग्राहक को सदस्य द्वारा जारी किये जाएंगे, अधिकृत व्यक्ति इन दस्तावेजों को प्राप्त करने या निपटाने में प्रशासनिक सहायता करेगा, लेकिन ग्राहक को कोई भी दस्तावेज अपने नाम से जारी नहीं करेगा/करेगी।
- 6अ.7.11 अधिकृत व्यक्ति के परिचालन में, यदि कोई अनियमितताएं हो तो, सदस्य तुरंत वापसी का अनुमोदन लेगा, ग्राहक की शिकायतों का समाधान होने तक ऐसे अधिकृत व्यक्ति को देय सभी धनराशियों को रोक लेगा, पुलिस के पास शिकायत दर्ज करेगा, और ग्राहक तथा बाजार के हित को सुरक्षित रखने के लिए आवश्यक सभी उपाय करेगा/करेगी।
- 6अ.7.12 सदस्य यह सुनिश्चित करेगा/करेगी कि ऐसे सभी ग्राहकों से जैसा भी मामला हो, सदस्य और विधायक का करार, ग्राहक पंजीकरण फॉर्म और जोखिम प्रकटन दस्तावेज या एक्सचेंज अथवा वायदा बाजार आयोग द्वारा निर्धारित ऐसे अन्य दस्तावेज प्राप्त होने के पहले अधिकृत व्यक्ति की ओर से कोई भी आदेश निष्पादित नहीं किये जाते हैं।
- 6अ.7.13 युनिक क्लाइंट कोड से संबंधित विवरणों को अपलोड करने की जिम्मेदारी सदस्य की होगी और अधिकृत व्यक्ति किसी ग्राहक को युनिक क्लाइंट कोड निर्माण या आर्बिट्रि नहीं कर सकता/सकती है।
- 6अ.7.14 इन उप-नियमों में विशेषतः उपरोक्त उप-नियम 6अ.7.12 और 6अ.7.13 में बताए हुए सभी दस्तावेज, एक्सचेंज अथवा वायदा बाजार आयोग द्वारा मांगे जाने पर लेखापरीक्षण व निरीक्षण हेतु सदस्य के पास उपलब्ध होने चाहिए।
- 6अ.8 एक्सचेंज के दायित्व
- 6अ.8.1 एक्सचेंज सभी अधिकृत व्यक्तियों की जानकारी (डेटाबेस) रखेगा, जिसमें निम्न का समावेश होगा:
- (अ) अधिकृत व्यक्ति का स्थायी खाता क्रमांक (पैन) और भागीदारी अथवा कार्पोरेट संकाय के मामले में, सभी भागीदारों अथवा निदेशकों के, जैसा भी मामला हो उनके फोटो सहित पैन क्रमांक, सहकारी संस्था की प्रबंधन समिति/शासी निकाय के सभी सदस्य निदेशक चाहे किसी नाम से जाने जाते हों, उनके फोटो सहित पैन क्रमांक।
- (ब) अधिकृत व्यक्ति जिस सदस्य के पास पंजीकृत है उसके विवरण
- (क) अधिकृत व्यक्ति को सौंपी गई शाखाओं के स्थान

- (ड) प्रत्येक अधिकृत व्यक्ति को दिये गए टर्मिनल्स की संख्या और उनके विवरण
- (ई) अधिकृत व्यक्ति के अनुमोदन की वापसी
- (फ) अधिकृत व्यक्ति की स्थिति अथवा गठन में परिवर्तन
- (ग) किसी सदस्य के विरुद्ध वायदा संविदा (विनियम) अधिनियम, 1952, नियम, उपनियम, विनियम तथा वायदा बाजार आयोग अथवा एक्सचेंज, जैसा भी मामला हो, के निदेशों के अधिकृत व्यक्ति द्वारा उल्लंघन हेतु एक्सचेंज द्वारा की गई अनुशासनिक कार्यवाई।

6.अ.8.2 सदस्य का निरीक्षण करते समय, एक्सचेंज उन शाखाओं का भी निरीक्षण कर सकता है जहां पर अधिकृत व्यक्तियों के टर्मिनल्स और उनके द्वारा किये गये परिचालन के रिकार्ड रखे गये हो।

6.अ.8.3 ग्राहक और अधिकृत व्यक्ति के बीच का कोई भी विवाद यह ग्राहक और सदस्य के बीच का विवाद माना जाएगा और उसे एक्सचेंज के नियमों, उप-नियमों और विनियमों के तहत सभी प्रयोजनों और कृत्यों के लिए एक्सचेंज द्वारा सुलझाया जाएगा।

6.अ.8.4 अनुशासनिक कार्यवाई अथवा विनियामक निदेशों के कारण अधिकृत व्यक्ति के अनुमोदन की वापसी के मामले में, एक्सचेंज एक प्रेस विज्ञापित जारी करेगा और ऐसे अधिकृत व्यक्तियों के नाम अनुमोदन के निष्कासन अथवा रद्द करने के कारण देते हुए अपनी वेबसाइट पर प्रसारित करेगा।

ह./-अपठनीय

प्रभारी प्रबंध निदेशक

नैशनल कोमोडिटी एण्ड डेरिवेटिव्स एक्सचेंज लि., मुंबई

स्थान : मुंबई

दिनांक: 13.08.2013

# NATIONAL COMMODITY & DERIVATIVES EXCHANGE LIMITED

Mumbai, the 13th August 2013

## PUBLIC NOTICE

In exercise of the powers conferred by section 11 of the Forward Contracts (Regulation) Act, 1952 (74 of 1952), the National Commodity & Derivatives Exchange Limited, Mumbai, with the previous approval of the Forward Markets Commission hereby amends the Bye-laws of the National Commodity & Derivatives Exchange Limited, Mumbai, published in the Gazette of India, in pages 309 to 547 of Part IV, dated 25th September 2004.

1. Short Title and Commencement: These Bye-laws may be called the National Commodity & Derivatives Exchange (3rd Amendment) Byelaws, 2012.
2. They shall be deemed to have come into force on the date of approval by the Forward Markets Commission.

3. In page 497 of the said notification, after Byelaw 6 of Part A, a new Byelaw shall be inserted namely,

## 6 A AUTHORISED PERSON

### 6A.1 AUTHORISED PERSON

6A.1.1 The Member(s) of the Exchange may provide market access to their Clients through "Authorized Persons".

6A.1.2 "Authorized Person" means and includes any person whether being an individual (including proprietors), a partnership firm as defined under the Indian Partnership Act, 1942, a Limited Liability Partnership (LLP) as defined under the Limited Liability Partnership Act, 2008, a body corporate as defined under the Companies Act, 1956, or a Co-operative Society as defined under the Co-operative Societies Act, 1912/Multi State Co-operative Societies Act, 2002/any other respective State/UT Cooperative Society Act (including federations of such cooperative societies), who is appointed as such by a Member of the Exchange upon the approval of Exchange, for providing access to the trading platform of the Exchange, as an agent of the Member of the Exchange.

### 6A.2 APPOINTMENT OF AUTHORIZED PERSON:

6A.2.1 Member(s) of the Exchange may appoint one or more Authorized Persons after obtaining specific prior approval from the Exchange.

6A.2.2 The approval as well as the appointment shall be specific for each such Authorized Person.

### 6A.3 PROCEDURE FOR APPOINTMENT

6A.3.1 A Member of the Exchange may apply to the Exchange in such format as may be notified by the Exchange for appointment of "Authorized Person".

6A.3.2 On receipt of the application for approval of the appointment of an Authorized Person from its Member, the Exchange may:-

- a. accord approval on satisfying itself that the person is eligible for appointment as Authorized Person; or
- b. refuse approval on satisfying itself that the person is not eligible for appointment as Authorized Person;

6A.3.3 The Exchange will have the discretion to refuse or withdraw permission, if any, granted/to be granted to any Authorized Person at any time without assigning any reason, if the Exchange, in its absolute discretion, considers such refusal or withdrawal to be in the interest of the market.

### 6A.4 ELIGIBILITY CRITERIA

#### 6A.4.1 Individuals

An Individual is eligible to be appointed as "Authorized Person", if he/she:

- a. is a citizen of India;
- b. is not less than 18 years of age;
- c. has not been convicted of any offence involving fraud or dishonesty;
- d. has been suspended or barred by any Stock or commodity Exchange for a period of more than six continuous calendar months, a period of three years has elapsed from the date of completion of the period of suspension before he is considered for appointment as an Authorized Person;
- e. has a good reputation and character;
- f. has passed at least 10th standard or equivalent examination from an institution recognized by the Central/State Government; and
- g. Possesses such certification that may be prescribed by the Exchange, as approved by the Forward Markets Commission from time to time.

#### 6A.4.2 A Partnership Firm, LLP Or A Body Corporate

A partnership firm, LLP or a body corporate is eligible to be appointed as Authorized Person:

- a) if all the partners or directors, as the case may be, comply with the requirements contained in Bye-law 6A.4.1 above;
- b) the object clause of the partnership deed or of the Memorandum of Association contains a clause permitting the person to deal in commodities derivatives contracts;

#### 6A.4.3 A cooperative society shall be eligible to be appointed as an Authorized Person:

- a) if all the Members/Directors by whatever name called, of the Managing Committee/Governing Body comply with the requirements contained in clause 6A.4.1 above. However, in respect of clause 6A.4.1.f above, the Exchange may at its discretion relax the criteria of educational qualifications.
- b) If the object clause of the Memorandum of Association of the co-operative society contains a clause permitting the co-operative society to deal in commodities derivatives contracts.

The eligibility criteria as detailed above may be added or amended from time to time as per directives or guidelines issued by the Forward Markets Commission.

#### 6A.4.4 Infrastructure

The Authorized Person must have necessary infrastructure, viz., adequate office space, equipment, manpower and such other infrastructural facilities, which the Exchange may prescribe from time to time, to effectively discharge the activities on behalf of the Member.

### 6A.5 CONDITIONS OF APPOINTMENT

6A.5.1 On being appointed as an "Authorized Person" of a Member of the Exchange, such person or entity shall not, during continuation of being an Authorized Person of such Member, qualify for becoming Authorized Person of any other Member of the Exchange.

6A.5.2 No director of a Member (if Member is a company under the Companies Act) or a partner of the Member (if Member is a partnership firm or a LLP) or a Member/Director of the Managing Committee/Governing Body of a Member (if the Member is a co-operative society) shall be eligible to become an "Authorized Person" of any other Member of the Exchange.

6A.5.3 The Authorized Person shall not receive or pay any money or deal in deliveries of commodities in its own name or account. All receipts and payments of money and dealings in commodities shall be in the name or account of the concerned Member.

6A.5.4 The Authorized Person shall receive his remuneration - fees, charges, commission, salary, etc. - for his services only from the Member of which it is an "Authorized Person" and he shall not charge any amount under whatever head from the Clients of the Member.

6A.5.5 All acts of omission and commission of the Authorized Person shall be deemed to be those of the Member.

6A.5.6 The Member and the "Authorized Person" shall enter into written agreement(s) in the forms specified by the Exchange. The agreement shall, inter alia, cover scope of the activities, responsibilities, confidentiality of information, conditions for appointment as "Authorized Persons" as prescribed in this chapter or as may be directed by the Forward Markets Commission from time to time, particulars of remuneration (whether by way of salary, commission, allowance or otherwise), termination clause, etc.

6A.5.7 The permission granted by the Exchange for any Authorized Person is only to facilitate the Members to trade on the Exchange platform through persons authorized by them and such permission shall not be construed in any manner whatsoever to waive, reduce or affect the liability and responsibility of the Member in such matter.

### 6A.6 WITHDRAWAL OF APPROVAL

The Exchange may withdraw approval given to an Authorized Person:

6A.6.1 On receipt of a request to that effect from the Member or the Authorized Person concerned, subject to compliance with the requirements as may be prescribed by the Exchange.

- 6A.6.2 On being satisfied that the continuation of the Authorized Person is detrimental to the interests of investor/s or the commodities market.
- 6A.6.3 On such Authorized Person becoming ineligible under Bye-law 6A.4.1 of this chapter, at a subsequent date.
- 6A.6.4 Upon the directions of the Forward Markets Commission.
- 6A.7 OBLIGATIONS OF THE MEMBER
- 6A.7.1 The Member shall enter into an agreement prescribed by the Exchange with each of such Authorized Persons after receipt of communication of acceptance of such Authorized Persons by the Exchange.
- 6A.7.2 The Member shall permit the Authorized Person to admit or introduce Clients and accept orders from the Clients on their behalf only after execution of the Agreement as stated at Bye-law 6A.7.1 above.
- 6A.7.3 The Member shall be responsible for all acts of omission and commission of his Authorized Person and/or their employees, including liabilities arising therefrom.
- 6A.7.4 If any trading terminal is provided by the Member to an "Authorized Person", the place where such trading terminal is located shall be treated as branch office of the Member.
- 6A.7.5 The Member shall display at each such branch office, additional information such as particulars of Authorized Person in charge of that branch, terms and conditions of his appointment, time lines for dealing through Authorized Person, etc., as may be specified by the Exchange.
- 6A.7.6 The Member shall notify changes, if any, in the Authorized Person to all registered Clients of that branch at least 15 days before the change.
- 6A.7.7 The Member shall conduct periodic inspection of the branches assigned to Authorized Persons and records of the operations carried out by them, as prescribed by the Exchange.
- 6A.7.8 It shall be the responsibility of the Member to audit the records of its Authorized Person to ensure that they comply with the Rules, Bye-laws and Regulations of the Exchange.
- 6A.7.9 The Client dealing through an Authorized Person shall be registered with the Member only. The funds, monies, commodities or warehouse receipts or electronic credit of commodities, as the case may be, of the Clients shall be settled directly between the Member and Client. No fund or commodities of the Clients shall be transferred/deposited/credited into any account of an Authorized Person.
- 6A.7.10 All documents like contract notes, statement of funds and commodities etc. would be issued by the Member to the Client. Authorized Person may provide administrative assistance in procurement of documents and settlement, but shall not issue any document to Client in its own name.
- 6A.7.11 On noticing irregularities, if any, in the operations of an Authorized Person, the Member shall forthwith seek withdrawal of approval, withhold all monies due to such Authorized Person till resolution of Client grievances, alert Clients in the location where the Authorized Person operates, file a complaint with the police, and take all measures as may be required to protect the interest of its Clients and the market.
- 6A.7.12 Members shall ensure that no orders are executed at the Authorized Person's end before all documents as prescribed by the Exchange or the Forward Markets Commission, as the case may be, including the Member and Constituents agreement, Client Registration Form and Risk Disclosure Document or such other documents as prescribed by the Exchange or the Forward Markets Commission are obtained from each such Client.
- 6A.7.13 Uploading of details pertaining to the Unique Client Code shall be the responsibility of the Member and the Authorised Person cannot create or allot Unique Client Code to any Client.
- 6A.7.14 All documents as mentioned in these Byelaws with specific reference to Bye-laws 6A.7.12 and 6A.7.13 above, should be available with the Member for audit and inspection as and when required by the Exchange or the Forward Markets Commission.
- 6A.8. OBLIGATIONS OF THE EXCHANGE
- 6A.8.1 The Exchange shall maintain a database of all the Authorized Persons, which shall include the following:
- a. Permanent Account Number (PAN) of Authorized Person and in case of partnership or body corporate, PAN number of all the partners or directors as the case may be alongwith photographs, PAN number of all the Members/Directors by whatever name called, of the Managing Committee / Governing Body of a co-operative society alongwith photographs.
  - b. Details of the Member with whom the Authorized Person is registered.
  - c. Locations of the branch assigned to the Authorized Person.
  - d. Number of terminals and their details, given to each Authorized Person.
  - e. Withdrawal of approval of an Authorized Person.
  - f. Change in the status or constitution of Authorized Person.
  - g. Disciplinary action taken by the Exchange against any Member for violations of the

Forward Contracts (Regulation) Act, 1952, Rules, Bye-laws, Regulations and directions of the Forward Markets Commission or the Exchange, as the case may be, by the Authorised Person.

- 6A.8.2 While conducting the inspection of the Member, the Exchange may also conduct inspection of the branches where the terminals of Authorized Persons are located and records of the operations carried out by them.
- 6A.8.3 Any dispute between a Client and an Authorized Person shall be treated as a dispute between the Client and the Member and the same shall be redressed by the Exchange accordingly under the Rules, Bye Laws and Regulations of the Exchange for all purposes and actions.
- 6A.8.4 In case of withdrawal of approval of an Authorized Person due to disciplinary action or upon the regulatory directive, the Exchange shall issue a press release and disseminate the names of such Authorized Persons on its website citing the reason for withdrawal or cancellation of approval.

Sd/- ILLEGIBLE

Managing Director-In-Charge  
National Commodity & Derivatives Exchange Ltd.  
Mumbai

Place: Mumbai

Date: 13.08.2013

#### MCX STOCK EXCHANGE LIMITED

Mumbai - 400093

The proposed amendment to the Bye-laws of MCX Stock Exchange Limited, are given hereunder and is published for criticism. Any person having any observations on the proposed amendment to the Bye-Laws can send the same to undersigned at the registered address within fifteen days from the date of this publication in the Gazette. The observation received after the fifteen days, will not be considered when the amendment is taken for consideration.

Subject to SEBI's approval, it is proposed to make the following amendment in Bye-Laws of the Exchange:-

#### Chapter II - Trading Segments

In Bye-law 4, the underlined words shall be inserted, namely:-

#### 'Capital Market Trading Segment

(4) Securities eligible under the Securities Contracts (Regulation) Act, 1956, may be admitted to dealings on the Capital Market Trading Segment. There shall be a separate trading platform ('SME Trading Platform') within the Capital Market Trading Segment, wherein securities issued by Small and Medium Enterprises in accordance with the Regulations/Guidelines specified by SEBI, may be admitted to dealings.'

JOSEPH MASSEY  
Managing Director & CEO

The Bye-laws of MCX Stock Exchange Limited are amended as given below:

#### Chapter II-Trading Segments

After Bye-law 6, the following Bye-law shall be inserted, namely:-

#### "(6A) Debt Market Segment

Debt Securities and debt instruments may be admitted to dealings on the Debt Market Segment. The Debt Market Segment shall encompass the electronic screen based trading platform providing for order matching, request for quotes, negotiated trades, etc., in debt securities and debt instruments, where the trading members and the participants (wherever permitted) on such platform, of the Exchange, may trade or report such transaction. For the purpose of this Byelaw, "Debt Securities and debt instruments" shall include the following:

(i) "Debt securities" as defined in Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008;

(ii) Government Securities, Treasury Bills, State Government loans, SLR and Non-SLR Bonds issued by Financial Institutions, municipal bonds, single bond repos, basket repos and CBLO kind of products subject to RBI approval, where required;

(iii) Securitised debt instruments as defined in Securities Exchange Board of India (Public Offer and Listing of Securitised Debt Instruments) Regulations, 2008;

(iv) Any other debt instruments as may be permitted from time to time by Securities Exchange Board of Indian and/ or by Reserve Bank of India for admission to dealings on the Debt Market Segment."

JOSEPH MASSEY  
Managing Director & CEO

मुद्रण निदेशालय द्वारा, भारत सरकार मुद्रणालय, एन.आई.टी. फरीदाबाद में मुद्रित एवं प्रकाशन नियंत्रक, दिल्ली द्वारा प्रकाशित, 2013

PRINTED BY DIRECTORATE OF PRINTING AT GOVERNMENT OF INDIA PRESS, N.I.T. FARIDABAD AND PUBLISHED BY THE CONTROLLER OF PUBLICATIONS, DELHI, 2013  
www.dop.nic.in